



DOCUMENT NO.: POPT-0004

PATENT

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11-07-01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:
Ernest H. Zerenner, *et al.*

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OCT 16 2001

Technology Center 2100

Serial No.: 09/676,374

Group Art Unit: 2161

Filing Date: September 29, 2000

Examiner: Not Yet Assigned

For: SYSTEM AND METHOD FOR ANALYZING AND
SEARCHING FINANCIAL INSTRUMENT DATA

DATE OF DEPOSIT: 10/9/01

I HEREBY CERTIFY THAT THIS PAPER IS BEING
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Assistant Commissioner for Patents
Washington DC 20231

Dear Sir:

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. §1.56 and in accordance with 37 C.F.R. §§1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 C.F.R. §1.56(b).



In accordance with §1.97(b), since this Information Disclosure Statement is being

filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in §1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the mailing date of a first Office Action after the filing of Request for Continued Examination under § 1.114, no additional fee is required.

- ☐ In accordance with §1.129(a), this Information Disclosure Statement is being filed in connection with ☐the first or ☐second After Final Submission, therefore:
- ☐ Certification in Accordance with §1.97(e) is attached; or
- ☐ The fee of \$180.00 as set forth in §1.17(p) is attached.
- ☐ In accordance with §1.97(c), this Information Disclosure Statement is being filed after the period set forth in §1.97(b) above but before the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311, or before an action that otherwise closes prosecution in the application, therefore:
- ☐ Certification in Accordance with §1.97(e) is attached; or
- ☐ The fee of \$180.00 as set forth in §1.17(p) is attached.
- ☐ In accordance with §1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with §1.97(e) and the submission fee of \$180.00 as set forth in §1.17(p) .
- ☐ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.
- ☐ Copies of references listed on the attached Form PTO-1449 are enclosed herewith EXCEPT THAT:
- ☐ In view of the voluminous nature of references [List as appropriate] and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.
- ☐ In accordance with §1.98(d), copies of the following references listed on

the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. §120 have been made in the instant application:

☐ Copies of references [List as appropriate],

listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior application Serial No. _____, filed _____.

☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.

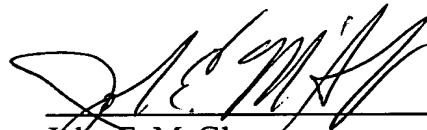
This form is submitted in duplicate.

The relevance of those references which are not in the English language is as follows:

There are no listed references which are not in the English language.

Date:

10/9/01



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Form PTO-1449 Modified

List of Patent and Publications
Cited by Applicant
(Use several sheets if necessary)

U.S. Department of Commerce
Patent and Trademark Office

Docket No.
POPT-0004

Serial No.
09/676,374

Applicant
Ernest H. Zerenner, et al.

Filing Date
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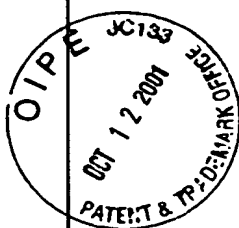
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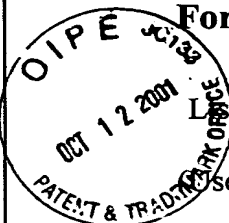
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U. S. PATENT DOCUMENTS

Examiner Initial		Document No.	Date	Name	Class	Subclass
	AA	4,334,270	06/08.82	Towers	364	300
	AB	4,674,044	06/16/87	Kalmus, et al.	364	408
	AC	4,823,265	06/18/89	Nelson	364	408
	AD	5,260,999	11/09/93	Wyman	384	4
	AE	5,262,942	11/16/93	Earle	364	408
	AF	5,270,922	12/14/93	Higgins	364	408
	AG	5,297,031	03/22/94	Guterman, et al.	364	408
	AH	5,347,452	09/13/94	Bay, Jr.	364	408
	AI	5,537,618	07/16/96	Boulton, et al.	395	161
	AJ	5,544,281	08/06/96	Maruoka, et al.	395	68
	AK	5,630,123	05/13/97	Hogge	395	607
	AL	5,754,939	05/19/98	Herz, et al.	455	4.2
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	AR	5,911,136	06/08/99	Atkins	705	36
	AS	5,913,202	06/15/99	Motoyama	705	35
	AT	4,209,845	06/24/80	Berger, et al.	364	900
EXAMINER				DATE CONSIDERED		



 Form PTO-1449 Modified List of Patent and Publications Cited by Applicant (Use several sheets if necessary) U.S. Department of Commerce Patent and Trademark Office				Docket No. POPT-0004		Serial No. 09/676,374	
				Applicant Ernest H. Zerenner, et al.			
				Filing Date September 29, 2000		Group 2161	
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Examiner Initial		Document No.	Date	Name	Class	Subclass	
	AU	4,611,280	09/09/86	Linderman	364	300	
	AV	4,774,666	09/27/88	Miyao, et al.	364	419	
	AW	4,846,687	07/11/89	White, et al.	434	112	
	AX	4,870,610	09/26/89	Belfer	364	900	
	AY	4,878,843	11/07/89	Kuch	434	112	
	AZ	5,169,342	12/08/92	Steele, et al.	434	112	
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	BB	5,257,938	11/02/93	Tien	434	128	
	BC	5,302,132	04/12/94	Corder	434	156	
	BD	5,349,368	09/20/94	Takeda, et al.	345	115	
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	BF	5,854,997	12/29/98	Sukeda, et al.	704	3	
EXAMINER				DATE CONSIDERED			